

<p><b><i>Request for Proposal to Obtain Database Cleanup, Automated Authorities Processing and RDA Conversion</i></b></p>
---

**A. General Information**

[Description of the library, such as:]

The [name] library serves a student population of approximately [number] and has [number] volumes. Over [number] bib records are loaded into a [system name] system.

The Library has a Technical Service staff of [number] professionals and [number] paraprofessionals. Approximately [number] new bibliographic records are added to the database per year.

**B. Work to be Performed**

The Library seeks a vendor to provide backfile database cleanup, authority processing, and RDA conversion on the entire bibliographic database, and optionally, a mechanism to keep the file current once the backfile process is completed. This would include ongoing authority control and RDA conversion. Each component must be priced separately.

**C. Submission of Proposal**

Proposals may be submitted in the following formats: hard copy print and/or email not later than [time, date, preferably three weeks out]. Any proposal not received by the listed bid opening date and time will be rejected.

Email address for submission of electronic bids: [Buyer's email address]

Street address for submission of printed bids: [Full street address usable by a courier]

Any questions requiring clarification of bid submission should be directed to the Buyer [give name of buyer, phone number, and e-mail]. Technical questions can be directed to [name of librarian] of the Library via e-mail or fax [supply e-mail address and fax number]. All bidders will be copied via fax on the questions and the responses. The closing date for inquiries is five working days prior to bid opening.

Any conditions which the bidder wishes to stipulate other than those included in this RFP

must be specifically stated in writing in the bidder's cover letter. If the bidder cannot accept a provision of the RFP, it must also state in the cover letter the RFP number of the unacceptable provision. All requested forms must be completed and submitted with the RFP response. Any supporting literature that the bidder wants to include should be placed in an appendix.

The response should include the numeration of all the specifications put forth in the RFP and should include the original wording.

#### ***D. Company History and References***

Bidders must supply a brief history of the company and detail their experience with authority control, including personnel responsible for this work. At least three references of comparable size libraries must be submitted. Include current contact names with email addresses and phone numbers. Names of libraries with the same automated system are preferred.

1. One from a similar type of library to ours (e.g., public or academic, number of titles, automated system)
2. One from a longtime customer (six years or more)
3. One from a new customer (started within last six months)

#### ***E. Timeline***

Bidders should detail the workflow and timeline involved in the completion of this project.

#### ***F. Submission of Pricing***

Bidders are requested to use the accompanying price form to list pricing. However, as an alternative, the pricing may be supplied as a separate page or pages, clearly labeled "Pricing: Backfile Processing" and "Pricing: Ongoing Authority Control", as part of the vendor's proposal. Line numbers and descriptions must correspond to the numbers and descriptions in the attached form.

All prices should be supplied including initial costs, ongoing costs, report costs, and testing. List separately any additional charges to be considered besides the per bib record price.

If additional services, not requested by this proposal, are being recommended by the bidder, they must be listed separately and not be figured into the total.

## **G. *Evaluation and Selection Criteria***

The RFP will be evaluated and weighted according to the following criteria:

- Understanding of mandatory project requirements and ability to meet them; feasibility of proposed schedule; proposed project approach and methodology: 40 maximum points.
- Ability to comply with highly desirable project requirements: 10 maximum points.
- References; staff qualifications and experience: 15 maximum points.
- Price of product: 35 maximum points

### **Mandatory Specifications: Database Cleanup**

1. Clean up MARC bibliographic records by updating obsolete MARC content designation to current standards, including correction of incorrect or obsolete indicators, MARC tags and subfield codes.
2. Process filing indicator in all standard title fields.
3. Update obsolete MARC content designation to current standards, including conversion of 440 to appropriate 490/830 fields.
4. Remove the initial article and zero the filing indicator in the 240 title field.
5. Remove the initial article and zero the filing indicator in the 830 title field.
6. Correct errors in spelling, capitalization, punctuation, diacritics, and spacing in access points, wherever such change is indisputable.
7. Correct punctuation, subfielding and sequencing of elements in pre-AACR2 conference names to conform to current practice.
8. Describe how relator subfields are handled.
9. Describe options for the treatment of the General Media Designation (GMD. 245 \$h)
10. Process and update numeric fields 010, 020, 022 and 040.
11. Delete the following MARC tags: [here the Library lists any unwanted MARC tags]
12. Include the following custom processing. [here the Library lists any custom processing required with examples] Indicate any additional cost.
13. Retag uncontrolled fields (e.g., 690) as defined by the Library so that

they may participate in authorities processing.

14. Normalize author, subject, and added title entries by supplying ending punctuation where appropriate.
15. Delete "The" from the beginning of subfield \$t in the following fields: 600, 610, 611, 630, 700, 710, 711, 730, 800, 810, 811, and 830 and capitalize the first letter of the next word.

Example: 700 1\_ \$a Thurber, James, \$d 1894-1961. \$t The catbird seat

Should be corrected to:

700 1\_ \$a Thurber, James, \$d 1894-1961. \$t Catbird seat.

16. Reorder indirect geographic subdivisions to the city level.

Example: 651 \_0 \$a San Antonio (Tex.) \$x Fountains.

Should be corrected to:

650 \_0 \$a Fountains \$z Texas \$z San Antonio.

17. Correct improperly formed direct geographic subdivisions to the correct indirect form.

Example 650 \_0 \$a Painting \$z Venice

Should be corrected to:

650 \_0 \$a Painting \$z Italy \$z Venice.

18. Describe character coding schemes you can process (MARC-8, UTF-8, or MARC XML).
19. Add subfield \$0 to bib records for matched terms. Describe options for full and partial access points.
20. Add FAST access points from LC access points where the LC access point has been validated, flipped, or split, and the link between the LC term and the FAST term has been established and verified.
21. Add Homosaurus terms based on existing Library of Congress headings in your database. The Homosaurus Editorial Board has provided a list of over 400 Library of Congress Subject heading terms that they have identified as exact matches to a Homosaurus term. In addition, Homosaurus terms coded as Homosaurus (\_7 \$2 homoit) should be compared to the Homosaurus authority file.
22. The successful vendor must process a test file including all our specifications, completed to the Library's satisfaction before commencing the full project.

## **H. Mandatory Requirements: Authorities Processing**

1. Match personal, corporate, conference, uniform title, and series name access points (MARC tags 100, 110, 111, 130, 240, 700, 710, 711, 730, 800, 810, 811, 830, 840) against the most current Library of Congress Name Authority File and flip the access points to the established form.
2. Match Library of Congress subject access points (MARC tag 650, second indicator 0) against the most current LC Subject Authority file optionally other thesauri (MeSH, Sears, LAC, FAST, TGM, RBMS, AAT as indicated) and flip the access points to the established form.
3. Match subject access points for personal names, corporate names, meeting names, uniform titles, and geographic names (600, 610, 611, 630, and 651, second indicator 0) against the appropriate LC file and flip the access points to the established form.
4. Discuss the processing of birth and death dates in name access points.
5. Delete or correct obsolete subdivisions.

Example:    \$x Addresses, essays, lectures

Should be deleted.

6. Expand commonly used abbreviations in name and subject access points, except when used as qualifiers, or when the abbreviation is in the authorized form of the heading.
7. Supply authority records for all matched access points from the LC, NLM, LAC, FAST, Sears, and TGM files. "Provisional" records are not acceptable. If vendor cannot limit output of authority records to authoritative sources, it must be so stated.
8. Describe options for the split of authority records. Indicate if there are additional costs to separate the records.
9. Remove non-Latin character sets in authority records if required by the automated system.
10. Process 490 field (series not traced) against LC series authority records.
11. Describe how genre added entries are handled. Provide options for using multiple genre lists (LCGFT, GSAFD, Homosaurus, FAST, AAT, QLSP, RBMS, MeSH, Sears, and TGM).
12. For hierarchical access points, provide authority records for all parts of the access point available.

Example:    600 10 \$a Shakespeare, William, \$d 1564-1616. \$t Hamlet  
              \$v Bibliography.

Three authority records would be output:

100 1\_ \$a Shakespeare, William, \$d 1564-1616. \$t Hamlet.

100 1\_ \$a Shakespeare, William, \$d 1564-1616.

100 1\_ \$a Shakespeare, William, \$d 1564-1616. \$ Hamlet.

\$v Bibliography

13. Provide a statistical report of the work performed.
14. Provide a report listing unmatched access points after authorities processing. Indicate any cost, and format of the report.
15. Provide a report listing access points that match two or more authorized access points. Indicate any cost, and format of the report.
16. Describe any additional available reports, including format and cost.
17. All records are to be sent and delivered via FTP or secure website.
18. The successful vendor must process a test file including all our specifications, completed to the Library's satisfaction before commencing the full project.
19. Provide a backup CD or DVD of the processed bibliographic and authority records. Indicate any additional cost.
20. Describe the options for payment of invoices, e.g., credit card, check, electronic funds transfer.

**J. *Mandatory Requirements: RDA Conversion***

1. Convert abbreviations to spelled-out form where appropriate.
2. Convert Latin abbreviations to English equivalents in descriptive fields as appropriate.
3. Remove GMD in 245 \$h and convert to 336-338 (Content-Media-Carrier) field equivalents.
4. Supply parallel title in 246 fields if none exists.
5. Move specified terms from end of subfield \$a or \$b to subfield \$c when \$a or \$c has "by".
6. Generate 34X fields.
7. Convert publication and/or distribution 260 field to 264 field(s).
8. Spell out abbreviations for physical description and correct spacing issues.
9. Conform authorized access points to RDA compliance.
10. List any optional reports and pricing.

## ***K. Highly Desirable Requirements***

1. Enrichment.
  - a.) Add Table of Contents, Summaries and/or Fiction/biography data to bibliographic records. Indicate any additional costs, whether one-time or ongoing. Describe any additional enrichment services available.
2.
  - b.) Add Reading Notes (Lexile, Accelerated Reader), to bibliographic records. Indicate any additional costs.
3. Provide a report of records enriched.
4. **Ongoing Authorities Maintenance Option I:** Vendor retains matching authority records from backfile/ongoing processing. Library uses local ILS/LSP to update bibliographic records with changed authority records supplied by vendor on a periodic basis. Indicate what reports are available and the costs (if any) involved.
5.
  - a.) Describe how the Library can notify the vendor of authority records deleted from the Library's database so updates do not continue for that heading.
  - b.) Provide the option to receive deleted authority records in a separate file through authority notification service. Indicate cost.
  - c.) Provide a mechanism for ongoing update of newly created bibliographic records, and the provision of new matching authority records. Explain how this service relates to the ongoing update of authority records. Indicate costs and any other options. Work performed should include the same options available with backfile processing. Indicate what reports are available and the costs (if any) involved.
  - d.) Indicate any minimum order requirements or pre-determined frequency and schedule for sending newly created bibliographic records for processing.
  - f.) Provide an extra 4XX with the previously authorized heading if lacking in the LC records, as part of the replacement authority records notification, to facilitate automatic updating.

Example:

New LC authority record: 100 0 \$a Johnson, Lady Bird, \$d 1912-2007

In this example, the new LC authority record contains the corrected entry for Lady Bird Johnson, but does not include a 400 that would link it to the library's old authority record.

Auth. record in your database:      100 0 \$a Johnson, Lady Bird, \$d 1912-

As part of ongoing maintenance, the authority record should contain an extra 4XX.

New LC authority record:              100 0 \$a Johnson, Lady Bird,  
\$d 1912-2007

With added 4XX                        400 10 \$a Johnson, Lady Bird, \$d 1912-

**6. Ongoing Authorities Maintenance Option II:** Vendor creates history files with the retention of both bibliographic and authority records from backfile/ongoing processing and periodically re-processes the bibliographic records, returning only changed ones plus new/changed/deleted authority records.

- a.) Describe the frequencies available for the re-processing of the bibliographic database.
- b.) Provide a mechanism to delete bibliographic and/or authority records from the library's vendor-maintained history files.
- c.) Provide a mechanism for ongoing update of newly created bibliographic records and matching authority records. Explain how this service relates to the periodic update of the history file of bibliographic records and the provision of new/changed authority records. Indicate costs and any other options. Work performed should include the same options available with backfile processing.
- c.) Indicate any minimum order requirements or pre-determined frequency and schedule for sending newly created bibliographic records for processing.
- d.) Describe any other options for Ongoing Authorities Option II, including the complete re-processing and replacement of the bibliographic file. Indicate any options for the replacement of the authority file.



## **J. Pricing: Backfile Processing**

**Vendor Name:**\_\_\_\_\_

<b>Task</b>	<b>Quantity</b>	<b>Unit</b>	<b>Extension</b>
1. Account establishment			
2. Test file generation			
3. Loading bib records			
4. Deletion of unwanted fields and subfields			
5. LC Authorities Processing			
6. MeSH Authorities Processing			
7. Genre Heading Processing			
8. Matching Authority Records			
9. RDA Conversion			
10. Addition of Table of Contents			
11. Addition of Summaries			
12. Addition of Fiction/Biography Enhancements			
13. Addition of Lexile data			
14. Addition of Accelerated Reader data			
15. Report of Unrecognized or Invalid Terms			
16. Report of Multiple Matches or High Probability Matches			
Any Additional Costs:			
<b>TOTAL COST FOR BACKFILE PROCESSING</b>			

**K. Pricing: Ongoing Authority Control Option I**

**Vendor Name:**\_\_\_\_\_

<b>Task</b>	<b>Quantity</b>	<b>Unit</b>	<b>Extension</b>
1. Provision of new/changed/deleted authority records on a monthly basis			
2. Optional reports of new/changed/deleted authority records			
3. Deletion of authority records from history file			
4. Processing of newly created bibliographic records			
5. Optional reports of processing of bibliographic records			
6. Optional Tables of Contents enrichment			
7. Optional Summaries enrichment			
8. Optional Fiction/Biographic data enrichment			
9. Optional Accelerated Reader enrichment			
10. Optional Lexile enrichment			
Any Additional Costs:			
<b>TOTAL COST FOR ONGOING AUTHORITY CONTROL FOR ONGOING AUTHORITIES MAINTENANCE OPTION I</b>			

**L. Pricing: Ongoing Authority Control Option II**

**Vendor Name:**\_\_\_\_\_

<b>Task</b>	<b>Quantity</b>	<b>Unit Price</b>	<b>Extension</b>
1. Periodic provision of new/changed bib records and new/changed authority records			
2. Account establishment			
3. Deletion of authority records from history file			
4. Deletion of bibliographic records from history file			
5. Processing of newly created bibliographic records			
6. Optional reports of processing of bibliographic records			
7. Optional Tables of Contents enrichment			
8. Optional Summaries enrichment			
9. Optional Fiction/Biographic data enrichment			
10. Optional Accelerated Reader enrichment			
11. Optional Lexile enrichment			
Any Additional Costs:			
<b>TOTAL COST FOR ONGOING AUTHORITY CONTROL FOR ONGOING AUTHORITIES MAINTENANCE OPTION II</b>			